

Agency Operations Plan 2015-17

Agency:

North Dakota Securities Department (41400)

Line of Business: (optional)

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Contact:

Name:	Diane Lillis
Title:	Examiner/Budget Administrator
Phone #:	701-328-4712
Email:	dlillis@nd.gov

Technology Strategy:

Agency mission:

The Department regulates the offer and sale of securities, franchises, commodities and pre-need funeral contracts through the administration of chapters 10-04, 51-19, 51-23, and 43-10.1 of the North Dakota Century Code.

The technology strategies previously implemented and currently planned assist in the effective management of continuously expanding registration and investigative workloads.

Technology Infrastructure:

Agency utilizes; ITD basic phone, speaker/display and voice mail. ITD shared server, Rightfax, ConnectND hosting and Liquid office. 4 HP laptops with docking stations, 5 HPS workstations, 7 agency Smartphone's (no employee owned devices used to access agency resources), 1 ipad, 3 Microsoft surface tablets, 1 shared label printer, 1 shared printer, 1 shared printer/fax/scanner, 4 small stand-alone printers.

- Microsoft Windows 7 Professional, Office 2013 Professional
- Adobe Acrobat XI Professional – 5 users
- Securities & Franchise Database/Registration System
 - MS Access 2013 windows database
 - Maintains all Securities and Franchise data
 - Receipts department revenues
 - Serviced by ITD – Department administrator is Harold Kocher
- Time Matters
 - Version 13 – Database maintained on ITD SQL server
 - Maintains all Enforcement data
 - Service Provider; Lexis/Nexis – Department administrator is Doug Smith

Planned Activities:

- Maintain Securities & Franchise Database/Registration Program
- Maintain and upgrade the Time Matters Enforcement Database
- Maintain imaging of document storage security accessibility
- Maintain and upgrade telecommunications equipment when needed
- Maintain and update Microsoft Office
- Maintain and update Adobe Acrobat
- Maintain and update website

Technologies being considered or investigated:

- Shared imaging equipment
- Ipads, security and related sync technology
- Replacing laptops with MS surface tablets
- Social medias for the agency